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PATENT TRADEMARK OFFICE

CERTIFICATE OF MAILING

I hereby certify that this TRANSMITTAL is being deposited with the U.S. Postal Service, with sufficient postage, as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, on this 30<sup>th</sup> day of November, 2001.

Typed or Printed name of person signing this certificate:  
Wendy A. Frick

Signed: Wendy A. Frick

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:	)	Examiner: Guttman, H.
Marchant, et al.	)	
Serial No.: 09/475,383	)	Art Unit: 1651
Filed: April 29, 1999	)	
For: SURFACTANTS THAT MIMIC THE GLYCOCALYX	)	Attorney Docket No.: 26046/04000

Assistant Commissioner for Patents  
Washington, D.C. 20231

**TRANSMITTAL OF PRELIMINARY AMENDMENT, SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT AND STATEMENT REGARDING  
SEQUENCE LISTING**

Sir:

Transmitted herewith are the following:

1. Preliminary Amendment;
2. Supplemental Information Disclosure Statement;
3. Form PTO-1449;
4. 1 Reference;
5. Statement Regarding Sequence Listing;
6. Paper Copy of Sequence Listing;
7. Diskette Containing Sequence Listing;
8. A copy of the Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures received from the Patent Office; and
9. A Return Receipt Postcard.

It is believed that no further fee is required relating to the filing of these documents. If this is not the case, the Patent Office is hereby authorized to charge any related fee to Deposit Account No. 03-0172. A duplicate copy of this sheet is attached.

Respectfully submitted,

Dated: July 29, 2002

  
Pamela A. Docherty, Reg. No. 40,561  
(216) 622-8416



## CALFEE, HALTER &amp; GRISWOLD LLP

July 29, 2002

TO: Examiner J. Weber  
FAX NUMBER: 703-746-5188  
SEND ONLY TO THE ABOVE FAX NUMBER:

CONFIRMATION  
PHONE NUMBER:

FROM: Pamela A. Docherty, Esq.  
DIRECT DIAL PHONE NUMBER: 216-622-8416

CLIENT NO.: 26046 MATTER NO.: 04000

CLIENT NAME: Roger E. Marchant

NUMBER OF PAGES (including this page): 9

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MESSAGE: RE: U.S. Patent Application Serial Number: 09/302,195

Dear Examiner Weber:

As you requested, attached please find a copy of the Statement Regarding Sequence Listing and a paper copy of the Sequence Listing that were originally filed with the USPTO on November 20, 2001, and a copy of the postcard stamped received on January 4, 2002, by the USPTO mailroom.

If you need any further information, please do not hesitate to contact me.

Very truly yours,

Pamela A. Docherty

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Columbus Fax Number • 614/621-0010

**CALFEE, HALTER & GRISWOLD LLP**

July 29, 2002

**TO:** Examiner J. Weber  
**FAX NUMBER:** 703-746-5188  
**SEND ONLY TO THE ABOVE FAX NUMBER:**

**CONFIRMATION  
PHONE NUMBER:**

**FROM:** Pamela A. Docherty, Esq.  
**DIRECT DIAL PHONE NUMBER:** 216-622-8416

**CLIENT NO.:** 26046**MATTER NO.:** 04000**CLIENT NAME:** Roger E. Marchant**NUMBER OF PAGES (including this page):** 10**MESSAGE: RE: U.S. Patent Application Serial Number: 09/302,195**

Dear Examiner Weber:

As you requested, attached please find copies of the Transmittal of Preliminary Amendment, Supplemental Information Disclosure Statement and Statement Regarding Sequence Listing, the Preliminary Amendment, the Supplemental Information Disclosure Statement, the Form PTO-1449, and the cited reference.

If you need any further information, please do not hesitate to contact me.

Very truly yours,

*Pamela A. Docherty*  
 Pamela A. Docherty

This facsimile transmission contains confidential and/or legally privileged information from the law firm of Calfee, Halter & Griswold LLP intended only for the use of the individual(s) named on the transmission sheet. If you are not the intended recipient, you are hereby notified that any disclosure, copying, distribution or the taking of any action in reliance on the contents of this facsimile transmission is strictly prohibited. If you have received this transmission in error, please notify us by telephone immediately so that we can arrange for the return of the documents to us at no cost to you.

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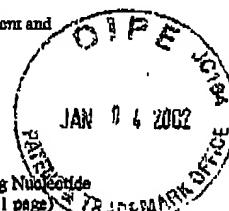
Mailed to the Patent and Trademark Office with sufficient postage, as first class mail, with sufficient postage, in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on this 11 day of November, 2000.

In re Application of Marchant, et al.  
Serial No.: 09/302,195  
Filed: April 29, 1999  
For: SURFACTANTS THAT MIMIC THE GLYCOL; LYX  
Our Ref. No.: 26046/04000

Please acknowledge receipt of:

- Return Receipt Postcard
- Transmittal of Preliminary Amendment, Supplemental Information Disclosure Statement and Statement Regarding Sequence Listing (2 pages) in duplicate
- Preliminary Amendment (1 page)
- Supplemental Information Disclosure Statement (1 page)
- Form PTO-1449 (1 page)
- 1 Reference
- Statement: Regarding Sequence Listing (2 pages)
- Paper Copy of Sequence Listing (4 pages)
- A copy of the Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures Received from the Patent Office (1 page)
- Diskette containing Sequence Listing

PAD/waf #1176





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PATENT TRADEMARK OFFICE

CERTIFICATE OF MAILING

I hereby certify that this STATEMENT is being deposited with the U.S. Postal Service, with sufficient postage, as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, on this 2012 day of November, 2001.

Typed or Printed name of person signing this certificate:

Wendy A. Frick

Signed: Wendy A. Frick

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:	)	Examiner: Guttman, H.
Marchant, et al.	)	
Serial No.: 09/475,383	)	Art Unit: 1651
Filed: April 29, 1999	)	
For: SURFACTANTS THAT MIMIC THE GLYCOCALYX	)	Attorney Docket No.: 26046/04000

Assistant Commissioner for Patents  
Washington, D.C. 20231

## STATEMENT REGARDING SEQUENCE LISTING

Dear Sir:

In response to the Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures mailed on November 9, 2001, (a copy of which is attached hereto), Applicant submits herewith a paper copy of a Sequence Listing as required by 37 C.F.R. 1.821(c), and a copy of the same Sequence Listing in computer readable form as required by 37 C.F.R. 1.821(e). The content of the paper copy and the computer readable copy of the Sequence Listing are the same. The sequences in the Sequence Listing are shown on page 7 and in claims 6 and 14 of the application as filed. Accordingly, the Sequence Listing adds no new matter to the application.

Respectfully submitted,

Date: November 20, 2001

By:

Pamela A. Docherty  
Pamela A. Docherty, Reg. No. 40,591  
(216) 622-8416